

Substitute Form PTO-1449 (Modified) Information Disclosure Statement by Applicant (Use several sheets if necessary) (37 CFR §1.98(b))	U.S. Department of Commerce Patent and Trademark Office	Attorney Docket No. 09857-0061001	Application No. 09/903,388
		Applicant Dean Furbush et al.	
		Filing Date July 9, 2001	Group Art Unit 3695

U.S. Patent Documents							
Examiner Initial	Desig. ID	Document Number	Publication Date	Patentee	Class	Subclass	Filing Date If Appropriate
	1	4,412,287	10/25/1983	Braddock, III, Walter D.			
	2	5,297,031	03/22/1994	Guterman et al.			
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Examiner Signature	Date Considered
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Foreign Patent Documents or Published Foreign Patent Applications

Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No
	26	WO 91/14231	09/19/1991	WIPO				
	27	WO 98/13778	04/02/1998	WIPO				

Other Documents (include Author, Title, Date, and Place of Publication)

Examiner Initial	Desig. ID	Document
	28	Securities and Exchange Commission, Proposed Rule Change, NASD, Inc., Feb. 5, 1999, 61 pps..
	29	"Nasdaq Workstation II", Nasdaq Stock Market, Inc., May 1999, pp. 1-17, XP002171886 (www.nasdaqtrader.com/trader/tradingservices/products/service6/userguides/-userguides.stm).
	30	"Self Regulatory Organizations: Notice of Filing of Proposed Rule Change by the National Association of Securities Dealers, Inc.", Federal Register--Securities and Exchange Commission, vol. 64, No. 47, Mar. 11, 1999, pp. 12198-12202, XP002171885 (198.17.75.65/fril/).
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	32	"Self Regulatory Organizations: Notice of Filing of Proposed Rule Change by the National Association of Securities Dealers, Inc.," Federal Register--Securities and Exchange Commission, vol. 64, No. 77, Apr. 22, 1999, pp. 19844-19849, XP002171896 (198.17.75.65/fril/).
	33	NASD Rulemaking: Relating to an Integrated Order Delivery and Execution System SECURITIES AND EXCHANGE COMMISSION (Release No. 34-39718; File No. SR-NASD-98-17) March 4, 1998
	34	Self-Regulatory Organizations; Notice of Filing of Amendment No. 1 to a Proposed Rule Change by National Association of Securities Dealers, Inc., Relating to an Integrated Order Delivery and Execution System March 4, 1998. Federal Register / Vol. 63, No. 48 / Thursday, March 12, 1998 / Notices
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	36	SR-NASD-99-53 - Amendment No. 1, NASD, 10/26/1999, 26 pages
	37	SR-NASD-99-53 - Amendment No. 2, NASD, 10/29/1999, 1 page
	38	SR-NASD-99-53 - Amendment No. 3 and Response to Comments, NASD, 3/22/2000, 39 pages
	39	SR-NASD-99-53 - Amendment No. 4, NASD, 3/23/2000, 53 pages
	40	SR-NASD-99-53 - Amendment No. 5 and Second Response to Comments, NASD, 5/16/2000, 35 pages
	41	SR-NASD-99-53 - Amendment No. 6, NASD, 7/6/2000, 29 pages
	42	SR-NASD-99-53 - Securities and Exchange Commission, Proposed Rule Change, Amendment No. 8, NASD, 10/20/2000, 123 pages
	43	SR-NASD-99-53 - Amendment No. 9, NASD, 1/8/2001, 3 pages

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